

# INSTRUCTIONS

## UPDATED REGISTRATION STATEMENT

### EMPLOYER OF EXECUTIVE AGENCY LOBBYIST

#### A. General Information

**Items 1 & 2:** Provide full name of the company/organization engaging the executive agency lobbyist(s) as it appears on the Initial Registration Statement. Record any changes in employer name, employer contact, title, address, email and telephone.

**Item 3:** Indicate whether this is a regular, final, or an amended statement. An amended statement should be filed if a correction needs to be made after the reporting deadline. If an amended statement is being filed, indicate which reporting year the statement is amending, and complete only those sections which are being changed by the amended filing.

**Item 4:** Provide the full name of ALL executive agency lobbyists who were registered to represent the employer during the reporting period, including those executive agency lobbyists who are no longer engaged by the employer, but were active during any part of the reporting period. Fill in the EAL registration number(s) of each, if known. **Do Not Leave This Section Blank**

**Item 5:** If the engagement of an executive agency lobbyist was terminated, or a new executive agency lobbyist was engaged, during the reporting period, state the name(s) of the individual(s) and the applicable dates.

**Item 6:** If the Initial Registration Statement indicated any real party(ies) in interest, and the employer is adding or deleting a real party, list the name and indicate whether the real party is an addition or deletion.

#### B. Executive Agency Decisions

List the specific executive agency decisions which your executive agency lobbyists attempted to influence during the reporting period. Examples of an executive agency decision to be listed: "contract for purchase of (commodity) by Kentucky Department of Corrections;" "met with officials of the Transportation Cabinet to discuss budget items for the State Road Fund."

#### C. Employer Expenditures Statement

Report ALL expenditures made by the employer, which were made to, or for the benefit of, an elected executive official, any secretary of a Cabinet listed in KRS 12.250, an executive agency official, or a member of the staff of any of those officials. List the name of the official or employee for whom the expenditure was made; type of expenditure; description of meeting, event, or occasion for which the expenditure was made; the date expenditure occurred; and the amount of the expenditure.

Examples of expenditures to be reported include the cost of a reception, entertainment, gifts, tickets to sporting events, food and beverage, or travel for any of the state officials listed above. You do not report the **employer's cost** for lobbying such as expenditures for office facilities, support services, or your lobbyist(s)' compensation.

Any expenditure reported requires the naming of an official or employee, and requires that you deliver a copy of the applicable section(s) of the expenditure statement to the identified official or employee at least ten (10) days before this statement is to be filed with the Commission.

*See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning the reported expenditure.*

## **D. Financial Transactions Involving Employer of Executive Agency Lobbyist**

If the employer, or a member of the employer's immediate family, had, during the reporting period, a financial transaction with, or for the benefit of, an official or employee so listed, state the name of the official or employee, the purpose and nature of the transaction, the date such transaction was made or entered into, and any other pertinent details.

A financial transaction is a transaction or activity that is conducted or undertaken for profit and arises from the joint ownership, or the ownership, or part ownership in common of any real or personal property or any commercial or business enterprise of any form or nature between:

The reporting of any financial transaction requires the naming of an official or employee, and requires that you deliver a copy of the financial transaction statement to the identified official or employee at least ten (10) days before the statement is to be filed with the Executive Branch Ethics Commission.

*See KRS 11A.226 for the procedure to be followed relative to any dispute that may arise concerning a reported financial transaction.*

## **E. Registration Fee**

Each employer of one or more executive agency lobbyists is required to pay a registration fee of \$500<sup>1</sup> with the filing of the *Updated Registration Statement, Employer of Executive Agency Lobbyist(s)* whether the employer is submitting a regular or final report. KRS 11A. 211(5). Payment may be made by credit card, check, or money order payable to the "**KENTUCKY STATE TREASURER**". For accuracy in recording, it is preferred that payment accompany the filing of the updated registration statement. Failure to submit the \$500 registration fee will constitute a deficiency in the filing of an updated registration statement and will subject the employer to penalties outlined in KRS 11A.990(5)

---

<sup>1</sup> House Bill 80, as passed by the 2016 General Assembly and signed by Governor Matt Bevin on April 27, 2016, raised the Executive Agency Lobbyist registration fee provided in KRS 11A.211 from \$125 to \$500 beginning July 1, 2016, through June 30, 2018.

**Certification:**

This section requires the signature of the employer contact and the date on which the statement was signed. The signing of the statement attests to the completeness and accuracy of the statement. You may complete the statement electronically by accessing the form from the Commission's internet website. The signed statement may be submitted in original form via hand delivery, regular mail, delivery service, electronically by facsimile/electronic mail or through an online system established by the Commission.

**Do not leave any section or question blank.** If the question does not apply, check the box "If None, Check Here"

COMPLETED AND SIGNED STATEMENTS ARE DUE ***ON OR BEFORE*** July 31.

If you have questions, contact:

Executive Branch Ethics Commission  
#3 Fountain Place  
Frankfort, Kentucky 40601  
(502) 564-7954  
FAX (502) 564-2686